

01/25/02

J1044 U.S. PTO



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Please type a plus sign (+) inside this box ☐

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

| | |
|---------------------|--------------------------------------|
| Attorney Docket No. | 11533.0025.NPUS00 |
| First Inventor | Douglas Allard |
| Title | Chitosan Coupling with Removable Lid |
| Express Mail | EL615210302US |

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (PTO/SB/17)
 (Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.
 See 37 CFR 1.27.
3. ☒ Specification [Total Pages **12**]
 (preferred arrangement set forth below)
 -Descriptive title of the invention
 -Cross reference to Related Applications
 -Statement Regarding Fed Sponsored R & D
 -Reference to sequence listing, a table,
 or a computer program listing appendix
 -Background of the invention
 -Brief Summary of the invention
 -Detailed Description
 -Claim(s)
 -Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets **2**]
5. ☒ Oath or Declaration [Total Pages ☐
 a. ☐ Newly executed (original or copy)
 b. ☐ Copy from a prior application (37 CFR 1.63 (d))
 (for continuational divisional with Box 17 completed)
 i. ☐ **DELETION OF INVENTOR(S)**
 Signed statement attached deleting inventor(s)
 named in the prior application, see 37 CFR
 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO:

Commissioner for Patents
 Box Patent Application
 Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or
 Computer Program (Appendix)
 8. ☐ Nucleotide and/or Amino Acid Sequence Submission
 (if applicable, all necessary)
 a. ☐ Computer Readable Form (CRF)
 b. Specification Sequence Listing on:
 i. ☐ CD-ROM or CD-R (2 copies); or
 ii. ☐ paper
 c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment papers (cover sheet & document(s))
 10. ☐ 37 CFR 3.73(b) Statement ☐ Power of
 (when there is an assignee) Attorney
 11. ☐ English Translation Document (if applicable)
 12. ☐ Information disclosure ☐ Copies of IDS
 Statement (IDS)/PTO-1449 Citations
 13. ☒ Preliminary Amendment
 14. ☒ Return Receipt Postcard (MPEP 503)
 (Should be specifically itemized)
 15. ☐ Certified Copy of Priority Document(s)
 (if foreign priority is claimed)
 16. ☐ Other.

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:

Prior application information: Examiner Group I Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label ☐ or ☒ Correspondence address below

| | | | | |
|---------|-----------------------------|-----------|--------------|------------------|
| Name | Howrey Simon Arnold & White | | | |
| | 750 Bering Drive | | | |
| Address | | State | TX | Zip Code 77057 |
| City | Houston | Telephone | 650-463-8100 | Fax 650-463-8400 |
| Country | USA | | | |

| | | | |
|-------------------|-----------------|-----------------------------------|---------------|
| NAME (Print/Type) | Justin A. White | Registration No. (Attorney/Agent) | 48,883 |
| Signature | | Date | Jan. 25, 2002 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$370.00)

Complete if Known

| | |
|----------------------|-------------------|
| Application Number | Not Yet Assigned |
| Filing Date | Herewith |
| First Named Inventor | Douglas Allard |
| Examiner Name | Not Yet Assigned |
| Group Art Unit | Not Yet Assigned |
| Attorney Docket No. | 11533.0025 NPUS00 |

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Acct. No. **08-3038**

Deposit Account Name **Howrey Simon Arnold & White**

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed: ☐ Money ☐ Other

☒ Check ☐ Credit card

FEE CALCULATION

| 1. BASIC FILING FEE | | | | Fee Description | Fee Paid |
|---------------------|----------------------|---------------------|----------------------|------------------------|----------|
| Large Fee Code | Entity Fee Code (\$) | Small Fee Code (\$) | Entity Fee Code (\$) | | |
| 101 | 740 | 201 | 370 | Utility filing fee | 370.00 |
| 106 | 330 | 206 | 165 | Design filing fee | |
| 107 | 510 | 207 | 255 | Plant filing fee | |
| 108 | 740 | 208 | 370 | Reissue filing fee | |
| 114 | 160 | 214 | 80 | Provisional filing fee | |

SUBTOTAL (1) (\$) 370.00

2. EXTRA CLAIM FEES

| Total Claims | | Extra Claims | Fee from below | Fee Paid |
|--------------------|-------|--------------|----------------|----------|
| 20 | <20* | 0 | X | |
| Independent Claims | | | | |
| 2 | > 3** | 0 | X | |
| Multiple Dependent | | | | |
| | | | | |

| Large Fee Code | Entity Fee Code (\$) | Small Fee Code (\$) | Entity Fee Code (\$) | Fee Description |
|----------------|----------------------|---------------------|----------------------|--|
| 103 | 18 | 203 | 9 | Claims in excess of 20 |
| 102 | 84 | 202 | 42 | Independent claims in excess of 3 |
| 104 | 280 | 204 | 140 | Multiple dependent claim, if not paid |
| 109 | 80 | 209 | 40 | ** Reissue independent claims over original patent |
| 110 | 18 | 210 | 9 | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$) 0

*or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

| Large Fee | Entity Fee | Small Fee | Entity Fee | Fee Description | Fee Paid |
|-----------|------------|-----------|------------|--|----------|
| 105 | 130 | 205 | 65 | Surcharge - late filing fee or oath | |
| 127 | 50 | 227 | 25 | Surcharge - late provisional filing fee or cover sheet | |
| 130 | 130 | 130 | 130 | Non-English specification | |
| 147 | 2,520 | 147 | 2,520 | For filing a request for ex parte reexamination | |
| 112 | 920* | 112 | 920* | Requesting publication of SIR prior to Examiner action | |
| 113 | 1,840* | 113 | 1,840* | Requesting publication of SIR after Examiner action | |
| 115 | 110 | 215 | 55 | Extension for reply within first month | |
| 116 | 400 | 216 | 200 | Extension for reply within second month | |
| 117 | 920 | 217 | 460 | Extension for reply within third month | |
| 118 | 1,440 | 218 | 720 | Extension for reply within fourth month | |
| 128 | 1,960 | 228 | 980 | Extension for reply within fifth month | |
| 119 | 320 | 219 | 160 | Notice of Appeal | |
| 120 | 320 | 220 | 160 | Filing a brief in support of an appeal | |
| 121 | 280 | 221 | 140 | Request for oral hearing | |
| 138 | 1,510 | 138 | 1,510 | Petition to institute a public use proceeding | |
| 140 | 110 | 240 | 55 | Petition to revive - unavoidable | |
| 141 | 1,280 | 241 | 640 | Petition to revive - unintentional | |
| 142 | 1,280 | 242 | 640 | Utility issue fee (or reissue) | |
| 143 | 480 | 243 | 230 | Design issue fee | |
| 144 | 820 | 244 | 310 | Plant issue fee | |
| 122 | 130 | 122 | 130 | Petitions to the Commissioner | |
| 123 | 50 | 123 | 50 | Petitions related to provisional applications | |
| 126 | 190 | 126 | 180 | Submission of Information Disclosure Sheet | |
| 581 | 40 | 581 | 40 | Recording each patent assignment per property (times number of properties) | |
| 146 | 740 | 246 | 370 | Filing a submission after final rejection (37 CFR § 1.120(a)) | |
| 149 | 740 | 249 | 370 | For each additional invention to be examined (37 CFR § 1.120(b)) | |
| 179 | 740 | 279 | 370 | Request for Continued Examination (RCE) | |
| 169 | 900 | 169 | 900 | Request for expedited examination of a design application | |

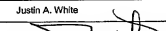
Other fee (specify)

* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 0

SUBMITTED BY

Name (Print/Type) **Justin A. White**

Signature 

Registration No. (Attorney/Agent) **48,883**

Complete if applicable

Telephone **650-463-8100**

Date **Jan. 25, 2002**

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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